

**U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
WASHINGTON, D.C. 20202-2649**

**2000 APPLICATION KIT FOR NEW GRANTS
UNDER
THE REHABILITATION SERVICES ADMINISTRATION
SERVICE PROGRAMS**

**VOCATIONAL REHABILITATION SERVICE PROJECTS PROGRAM FOR
MIGRANT AND SEASONAL FARMWORKERS PROGRAM:
CFDA NUMBER: 84.128G**



FORM APPROVED

OMB No. 1820-0018, EXP. DATE: 08/2001
OMB No. 1875-0106, EXP DATE: 06/30/2001

**DATED MATERIAL - OPEN IMMEDIATELY
CLOSING DATE: DECEMBER 1, 1999**

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REHABILITATION SERVICES ADMINISTRATION

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2000 under the Vocational Rehabilitation Service Programs for Migrant and Seasonal Farmworkers Program for individuals with disabilities. (CFDA: 84.128G). This program is authorized by Section 304 of the Rehabilitation Act of 1973, as amended (the Act) and implemented by the subsequent program regulations at 34 CFR Part 369.

The purpose of the Migrant and Seasonal Farmworkers Program is to fund projects that demonstrate and provide vocational rehabilitation services to individuals with disabilities who are migrant or seasonal farmworkers, and to the family members who are residing with such individuals (whether or not such family members are individuals with disabilities), including maintenance and transportation of such individuals and members of their families where necessary to the rehabilitation of such individuals.

The Rehabilitation Services Administration (RSA) expects to award four (4) new Migrant and Seasonal Farmworkers grants. Applications for funding under this notice will be used to support grants in FY 2000.

Please note the following:

APPLICATION PROCEDURES

This application kit contains the information and forms necessary to apply for a FY 2000 grant award for the Migrant and Seasonal Farmworkers Program, as identified in the attached Notice inviting applications for new awards recently published in the FEDERAL REGISTER. Potential applicants are advised to read the materials carefully, particularly the information on the types of organizations that are eligible to apply for these grants, how to prepare an application, and the selection criteria used by the reviewers to evaluate each application. Please refer to Section B for the selection criteria.

Applicants must submit one original application and two copies. The Rehabilitation Services Administration would appreciate receiving three additional copies to facilitate the peer review process, (six applications in all).

Applications mailed **must be postmarked** on or before the application closing date (December 1, 1999), to the following address:

U.S. Department of Education,
Application Control Center
Attention: CFDA Number 128G
400 Maryland Avenue, SW
Washington, DC 20202-4725

Applications delivered by hand/carrier service on or before the application closing date, **must** be forwarded to the following address:

U.S. Department of Education
Application Control Center
Room 3633, GSA National Capital Region, ROB-3
7th and D Streets, SW, Washington, DC 20202-4725
Telephone number: 202-708-9493

APPLICATION CONTENT

Migrant and Seasonal Farmworkers Program grants will be awarded at an average cost of \$165,000 each per year, for up to 60 months. The Federal share of the cost of a project may not exceed 90 percent of the total cost of the project under this Program.

Each application **must** include an one-page abstract highlighting the purpose of the project, target population and the number of individuals to be served during the project period, planned goals and objectives, projected outcomes; the manner in which the applicant will address the needs of individuals with disabilities from minority backgrounds, and an assurance that individuals provided services must be advised of the availability and purposes of the State's Client Assistance Program, including information on means of seeking assistance from that program.

PROGRAM RULES AND REGULATIONS

Migrant and Seasonal Farmworkers Program grants are subject to the requirements of the Education Department General Administrative Regulations at 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 85, and 86. These regulations set forth all general rules affecting application submittal, review, grant awarding, and post-award administration of Department of Education grant programs. A copy of the Migrant and Seasonal Farmworkers Program statute is attached. Additionally, Migrant and Seasonal Farmworkers projects are subject to the requirements of Executive Order 12372, for Intergovernmental Review of Department of Education Programs and Activities", found in 34 CFR Part 79 of EDGAR. If a State has established a process for this

review, applicants must use the process described in Section I of this package. Federally recognized Indian tribes are excluded from coverage under Executive Order 12372. The deadline for intergovernmental review is January 30, 2000.

TECHNICAL ASSISTANCE

If you have any questions about the information in this applicant package, please contact the RSA competition manager for the Migrant and Seasonal Farmworkers Program, Mary E. Chambers, at (202) 205-8435. Individuals who use a telecommunications device for deaf individuals (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8:00 a.m. and 8:00 p.m., Eastern time, Monday through Friday.

Thank you for your interest in this program.

Sincerely,

Thomas E. Finch, Ph.D.
Director
Division of Special Projects

SECTION A

NOTICE INVITING APPLICATIONS FOR NEW AWARDS

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No.: 84.128G)

Vocational Rehabilitation Service Projects Program for Migrant
and Seasonal Farmworkers

Notice inviting applications for new awards for fiscal year (FY)
2000.

PURPOSE OF PROGRAM: To provide grants for vocational

rehabilitation services to individuals with disabilities who are migrant or seasonal
farmworkers, as determined in accordance with rules prescribed by the Secretary of Labor,
and to the family members who are residing with those individuals (whether or not those
family members are individuals with disabilities).

ELIGIBLE APPLICANTS: A State designated agency; nonprofit

agencies working in collaboration with a State agency; and a
local agency working in collaboration with a State agency.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: December 1, 1999

DEADLINE FOR INTERGOVERNMENTAL REVIEW: January 30, 2000

APPLICATIONS AVAILABLE: September 1, 1999

AVAILABLE FUNDS: \$660,000

ESTIMATED RANGE OF AWARDS: \$150,000 - \$170,000

ESTIMATED AVERAGE SIZE OF AWARDS: \$165,000

ESTIMATED NUMBER OF AWARDS: 4

NOTE: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to 60 months.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85 and 86; and (b) The regulations in 34 CFR part 369.

NOTE: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes. The regulations in 34 CFR part 86 apply to institutions of higher education only.

SELECTION CRITERIA: In evaluating an application for a new grant under this competition, the Secretary uses selection criteria chosen from the general selection criteria in 34 CFR 75.210 of EDGAR. The selection criteria to be used for this competition will be provided in the application package for this competition.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734. You may also contact ED Pubs via its Web site (<http://www.ed.gov/pubs/edpubs.html>) or its E-mail address (edpubs@inet.ed.gov). If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.128G.

Individuals with disabilities may obtain a copy of the application package in an alternate format by contacting the Grants and Contracts Services Team (GCST), U.S. Department of Education, 400 Maryland Avenue, SW., room 3317, Switzer Building, Washington, DC 20202-2550. Telephone: (202) 205-8351. If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339. However, the Department is not able to reproduce in an alternate format the standard forms included in the application package.

FOR FURTHER INFORMATION CONTACT: Mary E. Chambers, U.S.

Department of Education, 400 Maryland Avenue, SW., room 3322,

Switzer Building, Washington, DC 20202-2647. Telephone (202) 205-8435. If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed in the preceding paragraph.

Electronic Access to This Document

You may view this document, as well as other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at either of the following sites:

<http://ocfo.ed.gov/fedreg.htm>

<http://www.ed.gov/news.html>

To use the PDF you must have the Adobe Acrobat Reader Program with Search, which is available free at either of the previous sites. If you have questions about using the PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of a document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 29 U.S.C. 774.

Dated:

Judith E. Heumann,
Assistant Secretary for
Special Education and
Rehabilitative Services.

SECTION B

Selection Criteria for Applications

(Taken from 34 CFR 75.210)

How the selection criteria will be used:

- (a) In the application package or a notice published in the **Federal Register**, the Secretary informs applicants of-
 - (1) The selection criteria chosen; and
 - (2) The factors selected for considering the selection criteria, if any.
- (b) If points or weights are assigned to the selection criteria, the Secretary informs applicants in the application package or a notice published in the **Federal Register** of -
 - (1) The total possible score for all of the criteria for a program; and
 - (2) The assigned weight or the maximum possible score for each criterion or factor under that criterion.
- (c) If no points or weights are assigned to the selection criteria and selected factors, the Secretary evaluates each criterion equally and, within each criterion, each factor equally.

(Authority: 20 U.S.C. 1221e-3 and 3474)

SECTION C
Selection Criteria for Applications
(Taken from 34 CFR 75.210)

MIGRANT AND SEASONAL FARMWORKERS (84.128G) SELECTION CRITERIA:
The Secretary uses the following selection criteria to evaluate applications for new grants under the Migrant and Seasonal Farmworkers Program (CFDA #84.128G) competition:

- a) Need for project. (10 points) In determining the need for the proposed project, the Secretary considers the following factors:
- (1) The magnitude or severity of the problem to be addressed by **the proposed project.**
 - (2) The magnitude of the need for the services to be provided or the **activities to be carried out by the proposed project.**
 - (3) The extent to which specific gaps or weaknesses in services, **infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.**
- (b) Significance. (10 points) In determining the significance of the proposed project, the Secretary considers the following factors:
- (1) The significance of the problem or issue to be addressed **by the proposed project.**
 - (2) The potential contribution of the proposed project to increased knowledge or understanding of rehabilitation problems, issues, or effective strategies.
 - (3) The likelihood that the proposed project will result **in system change or improvement.**
 - (4) The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations.
 - (5) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.
 - (6) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.
 - (7) The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in employment, independent living services, or both, as appropriate.
- (c) Quality of the project design. (25 points) In determining the quality of the design of the proposed project, the Secretary considers the following factors:
- (1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
 - (2) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
 - (3) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project.

(4) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

(5) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.

(6) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to target population.

((d) Quality of project services. (20 points) (1) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been under represented based on race, color, national origin, gender, age, or disability.

(2) In addition, the Secretary considers the following factors:

(1) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

(2) The likely impact of the services to be provided by the

proposed project on the intended recipients of those services.

(3) The likelihood that the services to be provided by the proposed project will lead to improvements in the skills necessary to gain employment or build capacity for independent living.

(4) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(e) Quality of project personnel. (10 points) (1) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been under represented based on race, color, national origin, gender, age, or disability.

(2) In addition, the Secretary considers the following factors:

(1) The qualifications, including relevant training and **experience, of the project director, or principal investigator.**

(2) The qualifications, including relevant training and **experience, of key project personnel.**

(3) The qualifications, including relevant training **and experience, of project consultants or subcontractors.**

(f) Adequacy of resources. (10 points) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(2) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.

(3) The extent to which the budget is adequate to support **the proposed project.**

(4) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(5) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(6) The potential for the incorporation of project purposes, activities, or benefits into the

ongoing program of the agency or organization at the end of Federal funding.

(g) Quality of the management plan. (10 points) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(2) The adequacy of procedures for ensuring feedback and **continuous improvement in the operation of the proposed project.**

(3) The adequacy of mechanisms for ensuring high-quality **products and services from the proposed project.**

(4) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(h) Quality of the project evaluation. (5 points) In determining the quality of the evaluation, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(2) The extent to which the methods of evaluation are **appropriate to the context within which the project operates.**

(3) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(4) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

(5) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

SECTION D

APPLICATION TRANSMITTAL INSTRUCTIONS

An application for an award must be postmarked or hand delivered by the closing date.

Applications Sent by Mail

An application sent by mail must be addressed to the Department of Education, Application Control Center, Attention: CFDA 84.128G, 400 Maryland Avenue, SW Washington, D.C. 20202-4725.

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail.

Each late applicant will be notified that its application will not be considered.

Application Delivered by Hand/Carrier Service.

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, General Services Administration National Capital Region, 7th and D Streets, SW, Washington, D.C. 20202.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Washington, D.C.) daily, except Saturdays, Sundays and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

Acknowledgment of Grant Application Receipt

The Application Control Center will mail a Grant Application Receipt Acknowledgment to each applicant. If an applicant fails to receive the notification of application receipt within 15 days from the closing date, the applicant should call the U.S. Department of Education Application Control Center at (202) 708-9493.

The applicant must indicate on the envelope, and in item 3 of the Application for Federal Assistance - Standard Form 424 (unless preprinted on the form by the Department), the CFDA number - and suffix letter, if any - of the competition under which the application is being submitted.

SECTION E

U.S. Department of Education
Office of Special Education and Rehabilitative Services

REHABILITATION SERVICES ADMINISTRATION INSTRUCTIONS FOR AN APPLICATION FOR FEDERAL ASSISTANCE

(Nonconstruction Programs)

The enclosed forms shall be used by all applicants for Federal Assistance under all Rehabilitation Services Administration programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I - Federal Assistance Application Face Page

Part II - Budget Information

Part III - Program Narrative

Part IV - Assurances, Certifications, and Disclosures

Each submitted application must include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0018. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0018, Washington, D.C. 20503.

Application for Federal Education Assistance



Note: If available, please provide application package on diskette and specify the file format

U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 06/30/2001

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

City

State

County

ZIP Code + 4

Organizational Unit

2. Applicant's D-U-N-S Number: _____

Title: _____

3. Catalog of Federal Domestic Assistance #: **84.128G** | →

4. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

5. Is the applicant delinquent on any Federal debt? ____ Yes ____ No
(If "Yes," attach an explanation.)

6. Type of Applicant (Enter appropriate letter in the box.) / _____/

A - State
B - County
C - Municipal
D - Township
E - Interstate
F - Intermunicipal
G - Special District
H - Independent School District
I - Public College or University
J - Private, Non-Profit College or University
K - Indian Tribe
L - Individual
M - Private, Profit-Making Organization
N - Other (Specify): _____

7. N

Application Information

8. Type of Submission:

-PreApplication

-Application

____ Construction

____ Construction

____ Non-Construction

____ Non-Construction

9. Is application subject to review by Executive Order 12372 process?

____ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____

____ No (If "No," check appropriate box below.)

____ Program is not covered by E.O. 12372.

____ Program has not been selected by State for review.

10. Proposed Project Dates: ____/____/____

Start Date:

End Date:

11. Are any research activities involving human subjects planned at any time during the proposed project period? ____ Yes ____ No

a. If "Yes," Exemption(s) #: _____ b. Assurance of Compliance #:

OR

c. IRB approval date: ____ Full IRB **or** ____ Expedited Review

12. Descriptive Title of Applicant's Project:

Estimated Funding

13a. Federal \$ _____ .00

b. Applicant \$ _____ .00

c. State \$ _____ .00

d. Local \$ _____ .00

e. Other \$ _____ .00

f. Program Income \$ _____ .00

g. TOTAL \$ _____ .00

Authorized Representative Information

14. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative

b. Title:

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com/dbis/aboutdb/intlduns.htm>.
- 3. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
- 4. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 5. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 6. Type of Applicant.** Enter the appropriate letter in the box provided.
- 7. Novice Applicant.** Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
- 8. Type of Submission.** Self-explanatory.
- 9. Executive Order 12372.** Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State

intergovernmental review process. Otherwise, check "No."

- 10. Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
- 11. Human Subjects.** Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." **The remaining parts of item 11 are then not applicable.**

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If all the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. **Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.**

If some or all of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. **Provide this six-point narrative in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.**

If the applicant organization has an approved Multiple Project Assurance of Compliance on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office

for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110.

If the IRB review is delayed beyond the submission of the application, enter **“Pending”** in item 11c. If your application is recommended/selected for funding, a follow-up certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. **If the applicant organization does not have** on file with GPOS or OPRR **an approved Assurance of Compliance** that covers the proposed research activity, enter **“None”** in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

12. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet.

If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

13. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable.

If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet.

For multiple program funding, use totals and show breakdown using same categories as item 13.

14. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body’s authorization for you to sign this application as official representative must be on file in the applicant’s office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**.

The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

**Protection of Human Subjects in Research
(Attachment to ED 424)**

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application “Yes” and designated exemptions in 11a , (all research activities are exempt), **provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under II.B. “Exemptions,” below. The Narrative must be succinct.** Provide this information in an “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page. **If you marked “Yes” to item 11 on the face page, and designated no exemptions from the regulations** (some or all of the research activities are nonexempt), **address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an** “Item 11/Protection of Human Subjects Attachment” and insert this attachment immediately following the ED 424 face page. **(1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners,**

institutionalized individuals, or others who are likely to be vulnerable.

(2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

- Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

- Is it a human subject?

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining*

private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial

standing, employability, or reputation. *If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed.* [Children are

defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if

wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://ocfo.ed.gov/humansub.htm>.



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMI
Expi

Name of Institution/Organization

Applicants requesting funding for only one year should enter "Year 1." Applicants requesting funding for more than one year should enter the number of years in the appropriate column. Please read all instructions before completing this form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

| Budget Categories | Project Year 1 (a) | Project Year 2 (b) | Project Year 3 © | Project Year 4 (d) | Project Year 5 (e) |
|--------------------------------------|-----------------------|-----------------------|---------------------|-----------------------|-----------------------|
| 1. Personnel | | | | | |
| 2. Fringe Benefits | | | | | |
| 3. Travel | | | | | |
| 4. Equipment | | | | | |
| 5. Supplies | | | | | |
| 6. Contractual | | | | | |
| 7. Construction | | | | | |
| 8. Other | | | | | |
| 9. Total Direct Costs (lines 1-8) | | | | | |
| 10. Indirect Costs | | | | | |
| 11. Training Stipends | | | | | |
| 12. Total Costs (lines 9-11) | | | | | |

Name of Institution/Organization

Applicants requesting funding for only one Year 1.” Applicants requesting funding for multiple years must provide funding for all years in the columns. Please read all instructions before completing this form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

| Budget Categories | Project Year 1 (a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. Personnel | | | | | |
| 2. Fringe Benefits | | | | | |
| 3. Travel | | | | | |
| 4. Equipment | | | | | |
| 5. Supplies | | | | | |
| 6. Contractual | | | | | |
| 7. Construction | | | | | |
| 8. Other | | | | | |
| 9. Total Direct Costs (lines 1-8) | | | | | |
| 10. Indirect Costs | | | | | |
| 11. Training Stipends | | | | | |
| 12. Total Costs (lines 9-11) | | | | | |

SECTION C – OTHER BUDGET INFORMATION (see instructions)

General Instructions

This form is used to apply to individual U. S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable specific instructions, if attached. By requesting budget information in the initial application for the total project period, the need for formal non-competing continuation applications is eliminated. However, an annual report on the progress of the project is required.

Section A - Budget Summary

U. S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e):

For each project year for which funding is requested, show the total

amount requested for each applicable budget category.

Lines 1-11, column (f):

Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, column (a)-(e):

Show the total budget request for each project year for which funding is requested.

Line 12, column (f):

Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - NON-FEDERAL FUNDING

Fill in the Non-Federal funding requirements.

Lines 1 through 12 of this section should reflect budget category totals given in Section D - Budget Detail/Narrative.

SECTION C - Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Section A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

SECTION D - BUDGET DETAIL/NARRATIVE

Attach separate sheets to fully explain and justify the following budget categories in support of the FEDERAL funding request. (Section A) and the no-Federal Funds (Section B).

Include sufficient detail to facilitate determination as to allowability, relevance to the project, and cost benefits.

1. Personnel: Show the salary and wages, title, and time commitment of all persons charged to the project. Consultant fees and expenses must be included in Line 8.
2. Fringe Benefits: Include contributions for Social Security, employee insurance, pension plans, etc. Leave blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost rate.
3. Travel: Itemize the amount requested for travel of employees only. Travel of consultants, trainees, etc. should not go on this line, nor should local transportation costs for project staff (i.e., where no out-of-town trip is involved); these costs should be listed under the category of "Other".

While all travel must be fully justified foreign travel should be separately identified and justified. No foreign travel will be authorized under the grant unless prior approval is obtained.

4. Equipment: List nonexpendable personal property that has a useful life of more than two years and an acquisition cost of \$500 or more per unit. However, consistent with institutional policy, lower limits may be established. List items of equipment in the following format: Item, Number of Units, Cost per Unit, and Total Cost. Fully justify the need for each item of equipment.
5. Supplies: Include the cost of consumable supplies and materials to be used in the project. These should be items which cost less than \$300 per unit with a useful life of less than two years.
6. Contractual: Show all amounts for each of the Following: (1) procurement contracts

(except those which belong on other lines such as supplies and equipment listed above) and (2) grant payments to secondary recipient organizations such as delegate agencies, affiliates, cooperating institutions, political subdivisions, etc. Indicate the name of the agency, organization, or individual that is expected to receive each proposed contract. This should be supported in Part III - Program Narrative.

Note: Whenever the applicant intends to delegate part or all of the program to another agency, the applicant must submit, if available, a copy of the proposed contract or grant payment and any other supporting documentation detailing the activity and required budget of each delegate agency. If the proposed contract or grant payment has not yet been advertised and/or negotiated, the applicant should provide any basis available that was used in developing the proposed contract/grant payment costs. Delegate agencies are not required to submit separate budget information for their portion of the total contractual budget. The total cost of all such agencies will be part of the amount shown on Line 6.

7. Other: Provide an itemized list of all remaining direct costs not clearly covered by lines 1-6 above. Examples are computer use charges, space or equipment rental, consultant costs, communication costs, rental of space, utilities and custodial services, printing materials, and local transportation.

For consultant expenses, give the total number of consultants that will work on the project and their costs (fees, per diem, and travel). Provide the basis for the determination of the rate identified for consultant costs for which Federal funds are requested. The justification should demonstrate how the consultant costs are reasonable, customary and consistent with the established institutional/organizational/agency policy governing consultant costs.

8. Total Direct Costs: Total lines 1 through 7.
9. Total Indirect Costs: Indirect costs are those costs of an organization that are not readily identifiable with a particular project or activity but are necessary for the general operation of the organization and the conduct of its activities.

Indicate your indirect cost rate and the amount of indirect costs to be charged to the project. If no indirect costs are requested, enter "none." This line should be used only when the applicant (except local government(s) has an indirect cost rate approved by the Department of Education (ED) or another Federal agency. Local governments shall enter the amount of indirect costs determined in accordance with ED requirements.

10. Total Project Costs: Total lines 8 and 9.

In addition, provide an itemized list of the sources of all NON-FEDERAL funds which ties to the amounts reflected in Section B.

PART III - PROGRAM NARRATIVE

Prepare the Program Narrative in accordance with the following instructions. Before preparing the Program Narrative, applicants should carefully review the selection criteria contained in this application package.

In addition, applicants should read the applicable parts of the Education Department General Administrative Regulations (EDGAR), 34 CFR. These regulations set forth all general rules affecting application submittal, review, grant award, and post-award administration for Department of Education grant programs.

NOTE: Applicants should refer back to the Dear Applicant Letter. It cites the applicable parts of EDGAR.

Since applications must be duplicated for distribution to reviewers, printed material should be legible, appear only on one side of each page, and be double spaced. To ensure that printed material is legible, the use of a high quality printer, with a 10 pitch or larger typeface, in the preparation of your application is strongly urged. Use standard 8 1/2 x 11 inch paper, white in color, and free from tabs. Also, use spring clips or rubber bands to hold the application together. Do not use binders, folders, and staples as they must be removed before duplicating applications.

Please limit the Program Narrative to 35 pages, double spaced, and number pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they must be kept to a minimum and must substantiate what is proposed in the narrative, e.g., the results of a needs survey or letters of commitment from organizations that will have significant involvement with the project. All vitae should be limited to one page in length showing the source and date of earned degrees, experience relevant to working with individuals who are disabled and the person's direct relationship to the project, e.g., how the person will function in the project.

The Program Narrative should begin with an overview statement (one page abstract) that summarizes the purpose/intent of project, the goals and objectives, the target population, the impact of project, and the expected outcomes or benefits.

The Program Narrative must respond to the selection criteria in the same order as they appear in the program regulations for each priority. The proposal must also address the following points for each selection criterion:

(a) Need for the project

Identify the specific need(s) which the proposed project is intended to meet and indicate why the project requires Federal support. State the principal and subordinate objectives of the project and show how the proposed project relates to the mission of the State/Federal vocational rehabilitation program, the specific discretionary program for which support is being requested, and the service needs of the geographic area to be served. Indicate the potential target or client population to be served. Objectives of the project should be (1) clearly and measurably defined in terms of intended results or outcomes within a specified time frame; and (2) based on identified needs, priorities, and related resources. Major tasks and activities should be carefully delineated. These in turn should be broken down into action steps to be completed by specified dates. Relevant needs assessment studies by the applicant or others should be footnoted or included with the application.

(b) Significance

Identify the significant observable, measurable results expected to be achieved during the period of the project. Productivity, for example is generally measured in such terms as the number of disabled persons served, the number rehabilitated and/or assisted to live more independently, improvement in work or independent living status following receipt of services, new services or improved service delivery systems, and/or increased participation by other kinds of program improvements. Expectations should be projected for each year of the project, including estimates and types of severely handicapped persons to be served. Show how project activities will enhance the quality of life and participation by disabled persons in family/community activities or in gainful employment.

(c) Quality of the project design and (d) Quality of project services

a. Design and Methodology

Describe the overall plan for the project, organization of the various project elements that affect achievement of project objectives, efficiency and economy of effort, provision for obtaining appropriate and reliable data for evaluation and the appropriateness of the project design.

Describe the methodology to be employed in accomplishing objectives, including action steps; identify and specify in detail the operational procedures, overall strategy, management, and plans for efficiency and effectiveness of operations. Both the work to be performed and available resources should clearly relate to the requested budget as well as resource commitments made by others including anticipated in-kind or volunteer assistance. Describe any innovative, unique, or exemplary activities that have been or will be pursued, such as formation of interagency or consumer advisory groups, which will have a positive impact on project effectiveness, efficiency, or economy, and improved service delivery to disabled persons.

The plan of work sequentially relates to the action steps and major functions and give a timetable for their completion. It is recommended that a timetable, GANT Chart or Pert Chart graphically representing the sequence and relationship of project activities be included in the proposal. Provide for each function or activity a quantitative quarterly projection of the accomplishments to be achieved in terms such as the number and type of clients to be served. When accomplishments cannot be quantified, list them in chronological order to show the schedule of accomplishments and their target dates.

(e) Quality of project personnel

Describe the qualifications of the project director and key staff on the project. Indicate the time that the project director and other key personnel will commit to the project.

For each of the key staff not identified at the time of application, provide (in lieu of a qualifications statement) a job description or the qualifications sought for the position. Include a statement of the recruitment plan for a project director and any key staff to be employed, and an estimate of when the recruitment of these staff will take place.

(f) Adequacy of resources and (g) Quality of management plan

Describe the facilities that will be used for the project. Include such items as key equipment to be used, amount of floor space available, training capacity, etc. Indicate the extent to which the facilities and other resources used are free of architectural, communications, and other barriers and are fully accessible to the handicapped.

Validate the organization's capability to perform the proposed project activity. Include past experiences or anticipated capability with regard to the objectives.

Provide a table of the organization and a list of the specific duties of the professional staff as well as the time each is to spend on the project.

Participation of other organizations, financially or otherwise, enhances the viability of the proposed project. Specific commitments should be clearly documented, preferably in writing, and submitted with the application. This may include cooperating public and private agencies, commercial or industrial entities, institutions of higher education, and others. It also may include individuals such as consultants or groups of individuals that advise or help determine policy.

Identify specific contributions to the project by the applicant, and collaborating organizations including in-kind contributions, cost sharing, donations, etc.

(h) Quality of the project evaluation

All applications must contain a plan for project evaluation which is based on an objective and quantifiable methodology to evaluate progress toward and achievement of project objectives. The purpose of this section is to specify the evaluation plan and methodology to be used. The evaluation plan should be phased in with other project tasks to ensure that interim products can be reviewed and comments fed back to project staff in time to influence the conduct of the project.

The Evaluation Plan must include:

(1) An annual evaluation of the following elements as required under 75.590 of EDGAR:

- (a) the project's progress in achieving its stated objectives;
- (b) the effectiveness of the project in meeting the purposes of the program;
- (c) the effect of the project on persons being served by the project, including any persons who are members of groups that have been traditionally underrepresented such as members of racial or ethnic minority groups, women, persons with disabilities, and the elderly.

(2) an annual assessment of the following:

- (a) the types of services provided;
- (b) the cost of services provided;
- (c) the number of clients served by disability, race, national origin, gender, and age;
- (d) the number of clients with a severe disability served;
- (e) the client outcomes obtained.

NOTE: Funded projects will be required to report evaluation findings in the annual progress report (as part of the continuation application) and in the final report at the conclusion of the project.

IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- (a) If a rehabilitation project is in its final year of support and refunding for a new project is being requested, provide a progress report that includes a discussion of all accomplishments to date in achieving project objectives and a schedule of accomplishments or milestones anticipated with the new funding request.
- (b) A listing showing the Federal Domestic Assistance Catalog number, status and amount of each project where there is related previous, pending or anticipated assistance.

SECTION F

ASSURANCES, CERTIFICATES AND DISCLOSURES

ASSURANCES- NON-CONSTRUCTION PROGRAMS

Note: **Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.**

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse. (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-

3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating

of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

- facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. § 1721 et seq) related to protecting components or potential components of the national wild and scenic rivers system.
 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

| | | |
|---|-------|----------------|
| Signature of Authorized Certifying Official | Title | |
| Applicant Organization | | Date Submitted |

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, “New Restrictions on Lobbying,” and 34 CFR Part 85, “Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants).” The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION,

person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110 -

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a

- criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, briber, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.
3. **DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**
- As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -
- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substances prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about -
- (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise

receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is co convicted -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purpose by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (Street address, city, county, state, zip code)_____

**Check _____ if there are workplaces on file that are not identified here.
DRUG-FREE WORKPLACE
(GRANTEES WHO ARE
INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR

**Part 85, Subpart F, for grantees, as
defined at 35 CFR Part 85, Sections
85.605 and 85.610 --**

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offence resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to Director, Grants and Contracts Service, US Department of Education, 400 Maryland Avenue, SW (Room 3124, GSA Regional Office Building No. 3), Washington, DC 20202-4571. Notice shall include the identification number of each affected grant.

As the duly authorized representative of the applicant, I certify that the applicant will comply with the above certifications.

NAME OF APPLICANT _____

PR/AWARD NO. AND/OR PROJECT NAME _____

PRINTED NAME OF AUTHORIZED REPRESENTATIVE _____

SIGNATURE _____ **DATE** _____

ED 80-0013

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION - LOWER TIER COVERED TRANSACTIONS

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.120.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," "and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the

certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is

suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification:

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

| | |
|---|--------------------------------|
| Name of Applicant | PR/Award # and/or Project Name |
| Printed Name and Title of Authorized Representative | |
| Signature | Date |

ED 80-0014, 9/90 (replaces GCS-009(rev. 12/88), which is obsolete)

DISCLOSURE OF LOBBYING ACTIVITIES

approved by O.M.B. 0345-0045

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 (see reverse for public burden disclosure)

| | | |
|--|--|---|
| 1. Type of Federal Action <div style="border: 1px solid black; padding: 5px;"> <input type="checkbox"/> a. Contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. coop. agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance </div> | 2. Status of Federal Action: <div style="border: 1px solid black; padding: 5px;"> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award </div> | 3. Report Type: <div style="border: 1px solid black; padding: 5px;"> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: yr. ____ qrtr. ____ Date of last report ____ </div> |
| 4. Name and Address of Reporting Entity: ___ Prime ___ Subawardee Tier ____, if known Congressional District ____ | | 5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: |
| 6. Federal Department/Agency: | 7. Federal Program Name/Description: CDFA #, if applicable 84. ____ | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ ____ | |
| 10.a. Name and Address of Lobbying Entity (if individual, last name, first name, MI) | b. Individuals Performing Services (including address if different from 10a) (last name, first name, MI) attach SF-LLL-A, if necessary | |
| 11. Amount of Payment (check all that apply): \$ ____ actual ___ planned | 13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: ____ | |
| 12. Form of Payment (check all that apply): ___ a. cash ___ b. in-kind: nature _____ value _____ | | |
| 14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11: (attach contin. sht., SF-LLL-A, if necessary) | | |
| 15. Continuation Sheet(s) SF-LLL-A attached ___ Yes ___ No | | |
| <small>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</small> | | Signature: Print Name: Title : Telephone No: ____ - ____ - ____ Date: |
| Federal Use Only: | | Authorized for Local Reproduction SF-LLL |

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of

Congress in connection with a covered Federal action. Use the SF-LLL-A continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, of expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee" then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal Action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a) Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind

contribution, specify the nature and value of the in-kind payment.

13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

.....
Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget Paperwork Reduction Project (0348-0046), Washington, D.C.
20503

SECTION G

APPLICATION CHECKLIST

Does your application include each of the following?

- ☐ Cover page (SF 424)
- ☐ Budget form (ED Form 524)
- ☐ Budget narrative
- ☐ Program narrative, including abstract and responses to the selection criteria
- ☐ Assurances and Certifications

Did You --

- ☐ Provide one (1) original plus 2 copies of the application?
- ☐ Include all required forms with original signatures and dates?
- ☐ Submit a copy of the application to the State Single Point of Contact, if applicable?
- ☐ Mail* Application To: **OR** Hand-deliver* Application To:

REHABILITATION SERVICE
PROGRAM
ATTN: CFDA #84.128G
U.S. Department of Education
Application Control Center
400 Maryland Avenue, SW
Washington, DC 20202-4725

REHABILITATION SERVICE
PROGRAM
ATTN: CFDA#84.128G
U.S. Department of Education
Application Control Center
7th & D Streets, SW, Room 3633
Washington, DC 20202-4725

*Must be received by mail postmarked no later than the closing date indicated on the cover of this kit or hand-delivered by 4:30 p.m. no later than the closing date indicated on the cover of this application kit.

SECTION H

COMMON QUESTIONS AND ANSWERS

[Below are some examples of Q's & A's that programs may include in their application booklets. Programs may want to add others. Generally speaking, Q's & A's should not repeat information that is given elsewhere in the application. However, there may be exceptions to this "rule of thumb." Q's & A's should not be subregulatory and should not take the place of instructions.]

Q. What happens to my application after it is received in the Department?

A. The Department's Application Control Center receives each application, assigns each an identifying number (PR/Award number), confirms receipt of applications, and sends the applications to the appropriate program office, which screens them for eligibility. The program conducts a peer review of all eligible applications sent to a program competition, ranks them and recommends the highest ranked applications for funding with exceptions as provided by law. The responsible official for the applicable program reviews the program office's recommendations, checks the adequacy of the documentation supporting the recommendations, and approves a final list, or slate, of recommended projects and funding amounts. The final slate is forwarded to Grant and Contract Services, Grants Division, which negotiates the recommendations with the successful applicants and awards the grants.

Q. What happens to my application if the Department finds it to be ineligible?

A. The Department immediately returns an application that does not meet the eligibility criteria for the particular program. A letter from the Department explaining why it is not being reviewed in the competition accompanies the application.

Q. How does the Department review an application?

A. Each application is assessed by knowledgeable persons from outside and sometimes inside the Department who are asked for their judgements about the quality and significance of the proposed project. These persons represent a diversity of disciplines and institutional, regional, and cultural backgrounds. The advice of these experts is compiled by Departmental staff who comment on matters of fact or on significant issues that would otherwise be missing from the review. The results are then presented to the responsible official responsible for the program who approves the recommendations for funding.

Q. What Criteria do the reviewers use when scoring an application?

A. Reviewers score each application using the selection criteria published in the Federal Register as part of the program regulations, which are given [specify where they can be found in the application package]. Reviewers are instructed to use only the published criteria.

Q. Is a recommended application guaranteed funding?

A. No. Funding is not final until negotiations have been successfully concluded and a grant

award notification has been signed by the grants office and mailed to the applicant.

Q. How long does it take the Department to complete the review process?

A. (Describe normal experience with the particular program. Most review processes take from six to eight months.)

Q. How do the invitational, competitive and absolute priorities differ?

A. **Invitational Priority**

The Secretary may simply invite applicants to meet a priority. However, an application that addresses invitational priorities receives no competitive or absolute preference over applications that do not meet this priority.

Competitive Priority

If a program uses weighted selection criteria, the Secretary may award selection points to an application that meets the priority. These points are in addition to any points the application earns under the selection criteria. The notice states the maximum number of additional points that the Secretary may award to applications that meet the priority in a particularly effective way. Or the Secretary may simply select applications that meet the competitive priority over applications of comparable merit that do not meet the priority.

Absolute Priority

Under an absolute priority, the Secretary may select for funding only those applications that meet the priority.

Q. Can changes in the size of subsequent year awards be made after the multi-year budget has been negotiated?

A. Yes, a grantee can renegotiate his or her multi-year budget and may be awarded additional funds if sufficient justification is presented to the Secretary and funds are available. Also, funds can be decreased if it is determined that the multi-year budget was overestimated.

Q. How will funding continuation decisions be made if the Department is phasing out the use of non-competing continuation applications after fiscal year 1995?

A. Grantees will be required to complete annual performance reports that describe the projects' accomplishments, evaluations, and finances. These performance reports, along with other information, will be used by the Department to decide whether to continue funding projects.

SECTION I

OTHER IMPORTANT INFORMATION AND NOTICES

Executive Order 12372 - Intergovernmental Review

The Education Department General Administrative Regulations (EDGAR), 34 CFR Part 79, pertaining to intergovernmental review of Federal programs, apply to the program(s) included in this application package.

Immediately upon receipt of this notice, all applicants, other than Federally recognized Indian Tribal Governments, must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should contact, immediately upon receipt of this notice, the Single Point of Contact for each State and follow the procedures established in those States under the Executive Order. A list containing the Single Point of Contact for each State is included in the application package for these programs.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date in the program announcement for Intergovernmental Review to the following address:

The Secretary
E.O. 12372-CFDA # 84.128G
U.S. Department of Education, FOB-6, Room 7W301
400 Maryland Ave., S.W.
Washington, D.C. 20202-0100

In those States that require review for this program, applications are to be submitted simultaneously to the State Review Process and the U.S. Department of Education.

Proof of mailing will be determined on the same basis as applications.

Please note that the above address is not the same address as the one to which the applicant submits its completed application. Do not send applications to the above address.

STATE SINGLE POINT OF CONTACT

ARIZONA

Ms. Janice Dunn

Arizona State Clearinghouse
3800 N. Central Avenue
Fourteenth Floor
Phoenix, Arizona 85012
Telephone (602) 280-1315

ARKANSAS

Tracie L. Copeland
Manager, St. Clearinghouse
Office of Intergovernmental Services
Dept. of Finance and Administration
P.O. Box 3278
Little Rock, Arkansas 72203
Telephone (501) 682-1074

CALIFORNIA

Glenn Stober
Grants Coordinator
Office of Planning & Research
1400 Tenth Street
Sacramento, California 95814
Telephone (916) 323-7480

COLORADO

St. of Single Point of Contact
State Clearinghouse
Division of Local Government
1313 Sherman Street, Room 520
Denver, Colorado 80203
Telephone (303) 866-2156

CONNECTICUT

Mr. William T. Quigg
Intergovernmental Review Coordinator
State Single Point of Contact
Office of Policy and Management
Intergovernmental Policy Division
80 Washington Street
Hartford, Connecticut 06106-4459
Telephone (203) 566-3410

DELAWARE

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
Dover, Delaware 19903
Telephone (302) 739-3326

DISTRICT OF COLUMBIA

Rodney T. Hallman
State of Single Point of
Office of Grants Management &
Development
717 14th Street N.W.
Suite 500
Washington, DC 20005
Telephone (202) 727-6551

FLORIDA

Florida St. Clearinghouse
Intergovernmental Affairs Policy Unit
Executive Office of the Governor
The Capitol
Tallahassee, Florida 32399-0001
Telephone (904) 488-8441

GEORGIA

Charles H. Badger
Administrator
Georgia State Clearinghouse
254 Washington Street, S.W.
Room 534 A
Atlanta, Georgia 30334
Telephone (404) 656-3855

ILLINOIS

Steve Klockenga
St. Single Point of Contact
Office of the Governor
107 Stratton Building
Springfield, Illinois 62706
Telephone (217) 782-1671

INDIANA

Jean S. Blackwell
Budget Director
St. Budget Agency
212 State House
Indianapolis, Indiana 46204
Telephone (317) 232-5610

IOWA

Steven R. McCann
Division for Community Progress
Iowa Department of Economic Development
200 East Grant Avenue
Des Moines, Iowa 50309

Telephone (515) 281-3725

KENTUCKY

Ronald W. Cook
Office of the Governor
Dept. of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601
Telephone (502) 564-2382

MAINE

Joyce Benson
State Planning Office
State House Station 38
Augusta, Maine 04333
Telephone (207) 289-3261

MARYLAND

Mary Abrams
Chief, MD State Clearinghouse
Department of State Planning
301 West Preston Street
Baltimore, Maryland 21201
Telephone (410) 225-4490

MASSACHUSETTS

Jean S. Blackwell
Budget Director
State Budget Agency
212 State House
Indianapolis, Indiana 46204
Telephone (317) 232-5610

MICHIGAN

Steven R. McCann
Division for Community Progress
Iowa Department of Economic Development
200 East Grant Avenue
Des Moines, Iowa 50309
Telephone (515) 281-3725

MISSISSIPPI

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, Kentucky 40601
Telephone (502) 564-2382

MISSOURI

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Room 430, Truman Building
Jefferson, Missouri 65102
Telephone (314) 751-4834

NEVADA

Dept. of Admin.
State Clearinghouse
Capitol Complex
Carson City, Nevada 89710
Attn: Ron Sparks
Clearinghouse Coordinator
Telephone (702) 687-4065

NEW HAMPSHIRE

Jeffery H. Taylor
Director, NH Office of State Planning
Attn: Intergovernmental Review Process
James E. Bieber
2 ½ Beacon Street
Concord, New Hampshire 03301
Telephone (603) 271-2155

NEW JERSEY

Gregory W. Adkins
Acting Director
Division of Community Resources
NJ Department of Community Affairs
Please direct all correspondence and
questions about intergov. review to:
Andrew J. Jaskolka
State Review Process
Division of Community Resources
CN 814, Rm. 609
Trenton, New Jersey 08625-0814
Telephone (609) 292-9025

NEW MEXICO

George Elliott
Deputy Director
State Budget Division
Room 190, Bataan Memorial Building
Sante Fe, New Mexico 85703
Telephone (505) 827-3640

NEW YORK

New York State Clearinghouse
Division of the Budget
State Capitol
Albany, New York 12224
Telephone (518) 474-1605

NORTH CAROLINA

Mrs. Chrys Baggett
Director
Office of the Secretary of Administration
N.C. State Clearinghouse
116 West Jones Street
Raleigh, North Carolina 27603-8003
Telephone (919) 733-7232

NORTH DAKOTA

ND Single Point of Contact
Office of Intergovernmental Assistance
Office of Management & Budget
600 East Blvd. Avenue
Bismarck, North Dakota 58505-0170
Telephone (701) 224-2094

OHIO

Larry Weaver
State Single Point of Contact
State/Federal Funds Coordinator
State Clearinghouse
Office of Budget & Management
30 East Broad St., 34th Floor
Columbus, Ohio 43266-0411
Telephone (614) 466-0698

RHODE ISLAND

Daniel W. Varin
Associate Director
Statewide Planning Program
Department of Administration
Division of Planning
265 Melrose St.
Providence, Rhode Island 02907
Telephone (401) 277-2656

Please direct correspondence and questions to:

Review Coordinator
Office of Strategic Planning

SOUTH CAROLINA

Omegia Burgess
State Single Point of Contact
Grant Services
Office of the Governor
1205 Pendelton Street
Room 477
Columbia, South Carolina 29201
Telephone (803) 734-0494

SOUTH DAKOTA

Susan Comer
State Clearinghouse Coordinator
Office of the Governor
500 East Capitol
Pierre, South Dakota 57501
Telephone (605) 773-3212

TENNESSEE

Charles Brown
State Single Point of Contact
State Planning Office
500 Charolette Avenue
309 John Sevier Building
Nashville, Tennessee 37219
Telephone (615) 741-1676

TEXAS

Tom Adams
Governor's Office of Budget & Planning
P.O. Box 12428
Austin, Texas 78711
Telephone (512) 463-1778

UTAH

Utah State Clearinghouse
Office of Planning & Budget
Attn: Carolyn Wright
Room 116, State Capitol
Salt Lake City, Utah 84114
Telephone (801) 538-1535

VERMONT

Bernard D. Johnson
Assistant Director
Office of Policy Research & Coordination
Pavilion Office Building
109 State Street
Montpelier, Vermont 05602
Telephone (802) 828-3326

WEST VIRGINIA

Fred Cutlip
Community Development Division
WV Development Office
Building #6, Room 553
Charleston, WV 25305
Telephone: (304) 348-4010
FAX: (304) 558-3248

WISCONSIN

William C. Carey
Federal/State Relations Office
Wisconsin Department of Administration
101 South Webster Street
P.O. Box 7864
Madison, Wisconsin 53707

***Please direct correspondence and questions
to:***

William C. Carey, Section Chief
Federal/State Relations Office
Wisconsin Department of Administration
Telephone (608) 266-0267

WYOMING

Sheryl Jeffries
State Single Point of Contact
Herschler Building
4th Floor, East Wing
Cheyenne, Wyoming 82002
Telephone (307) 777-7574

TERRITORIES

GUAM

Michael J. Reidy
Director
Bureau of Budget & Management Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910
Telephone (671) 472-2285

NORTHERN MARIANA ISLANDS

State Single Point of Contact
Planning & Budget Office
Office of the Governor
Saipan, CM
Northern Mariana Islands 96950

PUERTO RICO

Norma Burgos/Jose E. Caro
Chairman/Director
Puerto Rico Planning Board
Minillas Government Center
P.O. Box 41119
San Juan, Puerto Rico 00940-9985
Telephone (809) 727-4444

VIRGIN ISLANDS

Jose George
Director, Office of Management and Budget
#41 Norregade Emancipation Garden Station
Second Floor
Saint Thomas, Virgin Islands 00802

Please direct correspondence to:

Linda Clarke
Telephone (809) 774-0750

- In accordance with Executive Order #12372, "Intergovernmental Review Process," this listing represents the designated State Single Points of Contact. Upon request, a background document explaining the Executive Order is available. The Office of Management and Budget point of contact for updating this listing is: Donna Rivelli (202) 395-5090. The States not listed no longer participate in the process. These include: Alabama; Alaska; Kansas; Idaho; Louisiana; Minnesota; Montana; Nebraska; Oklahoma; Oregon; Pennsylvania; Virginia; Washington; and Hawaii. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will be made only upon formal notification by the State.

Last change made was Kentucky (12-2-97)

ATTACHMENT B
NOTICE TO ALL APPLICANTS

NOTICE TO ALL APPLICANTS

Thank you for your interest in this program. The purpose of the enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under the Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This Section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: gender, race, national origin, color, disability, or age. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation. Your description need not be lengthy; you may provide clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may effect the ability of certain potential beneficiaries to fully participate in the project and to achieve a high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirements of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct “outreach” efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:**

U.S. Department of Education
Washington, DC 20202-4651

ATTACHMENT C
PROGRAM STATUTE

Sec. 304. Migrant and Seasonal Farmworkers

(a) Grants

(1) Authority

The Commissioner, subject to the provisions of section 306, may make grants to eligible entities to pay up to 90 percent of the cost of projects or demonstration programs for the provision of vocational rehabilitation services to individuals with disabilities who are migrant or seasonal farmworkers, as determined in accordance with rules prescribed by the Secretary of Labor, and to the family members who are residing with such individuals (whether or not such family members are individuals with disabilities).

(2) Eligible entities

To be eligible to receive a grant under paragraph (1), an entity shall be—

- (A) a State designated agency;
- (B) a nonprofit agency working in collaboration with a State agency described in subparagraph (A); or
- (C) a local agency working in collaboration with a State agency described in subparagraph (A).

(3) Maintenance and transportation

(A) In general

Amounts provided under a grant under this section may be used to provide for the maintenance of and transportation for individuals and family members described in paragraph (1) as necessary for the rehabilitation of such individuals.

(B) Requirement

Maintenance payments under this paragraph shall be provided in a manner consistent with any maintenance payments provided to other individuals with disabilities in the State under this Act.

(4) Assurance of cooperation

To be eligible to receive a grant under this section an entity shall provide assurances (satisfactory to the Commissioner) that in the provision of services under the grant there will be appropriate cooperation between the grantee and other public or nonprofit agencies and organizations having special skills and experience in the provision of services to migrant or seasonal farmworkers or their families.

(5) Coordination with other programs

The Commissioner shall administer this section in coordination with other programs serving migrant and seasonal farmworkers, including programs under title I of the Elementary and

Secondary Act of 1965 (20 U.S.C. 6301 et seq.), section 330 of the Public Health Service Act (42 U.S.C. 254b), the Migrant and Seasonal Agricultural Worker Protection Act (29 U.S.C. 1801 et seq.), and the Workforce Investment Act of 1998.

(b) Authorization of Appropriations

There are authorized to be appropriated such sums as may be necessary to carry out this section, for each of the fiscal years 1999 through 2003.

ATTACHMENT D

THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

NOTICE TO ALL APPLICANTS: The Government Performance and Results Act (GPRA)

What is GPRA

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the United States Department of Education Responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1:** Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.
- Goal 2:** Build a solid foundation for learning for all children.
- Goal 3:** Ensure access to postsecondary education and lifelong learning.
- Goal 4:** Make the United States Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.

IMPORTANT NOTICE
TO PROSPECTIVE PARTICIPANTS
IN THE U.S. DEPARTMENT OF EDUCATION
CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that -

Failure to meet a deadline will mean that an application will be
rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington DC 20402-9371. (Send check or money order only, on cash or stamps.)

The instructions in the federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center Washington, DC 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP.

Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with other, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBS is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$ 49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402-93

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED Mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.
ED Form 5548 8/92

REPLACES ED FORM 5548, 6/86 WHICH IS OBSOLETE

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education
Coordination and Control Branch
(202) 708-9493

EDUCATION BULLETIN BOARDS

There is now an electronic bulletin board with information about grant and contract opportunities at the U.S. Department of Education. The bulletin board is open to public access. The official version of the documents received from any electronic bulletin board is the version that is published in the Federal Register.

Bulletin Board Data Number
(202) 260-9950

DUNS Number Instructions

D-U-N-S No.:

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at not charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/about/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

DUNS & Bradstreet, a global information services provider, has assigned D-U-N-S number to over 43 million companies worldwide.

GRANT APPLICATION RECEIPT ACKNOWLEDGMENT

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 708-9495

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

| | | |
|-----------------------|---|------------------|
| ED Internet Home Page | http://www.ed.gov/ | (WWW address) |
| | gopher://gopher.ed.gov/ | (Gopher address) |

| | | |
|-----------------------|---|------------------|
| GCS Web Internet Page | http://gcs.ed.gov/ | (WWW address) |
| | gopher://gcs.ed.gov/ | (Gopher address) |

| | |
|-----------------------|----------------|
| ED Board Computer BBS | (202) 260-9950 |
|-----------------------|----------------|